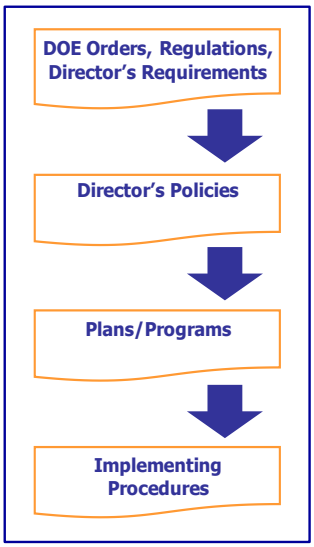
Process to modify the Fermilab Policy Manual:

1. What constitutes a policy
2. Decide if new format works (manual and individual policies)
    a. Structure of the Policy Manual
3. Procedure for policies
    a. Who owns and approves them
    b. How they are maintained and changed
        i. How change is controlled
        ii. What initiates a change
            1. New driver
            2. Change in a driver
            3. Desire by controlling entity
    c. How often are they reviewed
        i. Who owns the review
4. What policies should remain policies
5. Content review of remaining policies

Fermilab Director's Policy Manual

Policy Definition:



The Fermilab Director's policies are written descriptions of Fermilab's approach to implementing drivers, such as statutes, DOE Orders, and the Laboratory Director's requirements.

A policy provides interprets the driver's requirements into boundary conditions and direction for implementation into Fermilab programs and procedures. It is the first step in the flowdown of requirements into the laboratory.

Policies are Effective if:

- They are brief and to the point
- They define what is required at high level
- They describe why something is being done (i.e.the drivers)
- They are written from customer's view
- They support the Director's strategy, goals and objectives
- They are kept current
- There is a clear statement of policy ownership and the commensurate roles, responsibilities, accountability and authority (R2A2)

Policy Manual Structure:

Policy Manual:

We suggest changing the policy manual to standardize the approach and content of policies. In addition, we suggest a change in structure, arranged by function (Management Systems), which more closely follows the orders and regulations that drive Fermilab's business and science activities.

We suggest developing the structure as follows:

1. Group the regulations, DOE Orders, and Director's requirements by function (Management Systems)_
2. Map them to the appropriate owners
3. Decide what policies are required
4. Match the list to the current policies
    a. Create a list of those that need to be developed anew
    b. Remove the ones that do not meet the definition of a policy
5. Develop the numbering scheme
    a. Do we keep the same numbering scheme, modify it to use numbers contained in regulations and DOE Orders, or develop something new?
6. Determine priority and address them sequentially, in accordance with their priority

A notional example follows:

1. Policy on Policies
2. Operations
    2a. Property
    2b. Maintenance
3. Business Services
    3a. Travel
    3b. Procurement
    3c. Physical Security
4. NNN

In this scheme each of the above would be a policy. This would allow the sub-policies (2a, 2b, 2n…) to be portable. If the laboratory re-organized the sub-policies could be moved under another functional area in their entirety with only a numbering change required.

Individual Policies:

The standard format we suggest for all policies is:

1.0 Title and Number

2.0 Effective Date

3.0 Scope

4.0 Applicability

5.0 Policy

6.0 Drivers

7.0 Responsible Organization

Procedure for policies:

1. Director owns and approves all Director's Policies
    a. Assigns OQBP to maintain manual and control content in accordance with policy procedures
    b. Deligates content ownership to management designees
    c. Director is the final signatory to approve policy for use
2. New policies
    a. Need for policy established via discussion with OQBP
        i. Eleveated to Director if consensus cannot be reached
    b. Number assigned
    c. Affected D/S/C identified as required reviewers
    d. Policy designated ownership and the commensurate roles, responsibilities, accountability and authority (R2A2) identified in outline of new policy
    e. Approval Process
        i. Owner – Management designee
        ii. Subject Matter Expert designated to write the document
        iii. Designted reviewers provide feedback
        iv. Comments Reconciled
        v. Approver – Management designee recommends approval to Director
3. How they are maintained and changed
    a. Change definition
        i. Revision
            1. Change in scope
            2. Change boundary condition
            3. Change in Management
            4. Impact on safety (safety envelope)
            5. New management system
            6. New purpose
            7. Change in operating philosophy (approach)
            8. Impact by other management systems
        ii. Change
            1. Major Change
                a. Non-editorial change
                b. Change that does NOT effect the items in the Revision list, above
            2. Minor Change
                a. Editorial Change
    b. How is change controlled

i. Revision
    1. Change discussed with OQBP
        a. Elevated to Director if consensus cannot be reached
    2. Management designee makes change
    3. Original review organizations review revision
    4. Management designee reconiles comments
    5. Management designee recommends approval to Director
ii. Major Change
    1. Change discussed with OQBP
        a. Elevated to Director if consensus cannot be reached
    2. Management designee makes change
    3. Selected review organizations review revision
    4. Management designee reconiles comments
    5. Management designee recommends approval to Director
iii. Minor Change
    1. Management designee authorizes change with OQBP concurrence

4. How often are they reviewed
    a. Policies are reviewed annually or when there is an event that drives a change, as described above
    b. OQBP and the Management Designee owns the review
5. MSO and D/S/C Policies
    a. D/S/Cs may have their own policies using the following conditions
        i. They do not conflict, override, circumvent, or reduce the requirements found within the Director's Policies
        ii. They follow the process outlined above with the approval levels being one level above the policy owner
            1. If they impact other D/S/Cs they must be reviewed in accordance with the processes described above, including how reviews are designated